

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Form SD

Specialized Disclosure Report

Baker Hughes Incorporated

State of incorporation/organization:
Delaware

Commission File Number:
1-9397

IRS Employer Identification Number:
76-0207995

Address of principal executive offices:
17021 Aldine Westfield
Houston TX 77073

Person to contact in connection with this report:
William D. Marsh
Vice President and General Counsel
(713) 439-8600

Rule pursuant to which this form is being filed:
☒ Rule 13p-1, 17 CFR 240.13p-1 – Securities Exchange Act, 15 U.S.C
78m(p) – Section 1502, Dodd-Frank Act
☐ Securities Exchange Act, 15 U.S.C 78m(q) – Section 1504, Dodd-Frank
Act

Period to which the information in this form applies:
January 1, 2016 to December 31, 2016

Section 1 – Conflict Minerals Disclosures

ITEM 1.01 CONFLICT MINERALS DISCLOSURE AND REPORT

REASONABLE COUNTRY OF ORIGIN INQUIRY

Determinations made.

Baker Hughes Incorporated (“Baker Hughes,” “Company,” “we,” “our” and “us”) has determined that we obtained in calendar year 2016 conflict minerals necessary for the production of certain products manufactured or contracted to be manufactured for sale by the Company.

Description of inquiry.

The Company’s inquiry is described in this Specialized Disclosure Report, which includes our Conflict Minerals Report (collectively, the “Report”) attached to this Form SD as **Exhibit 1.01**.

Additional information on the Company’s conflict minerals compliance program can be found at the following web page:

<http://www.bakerhughes.com/company/corporate-social-responsibility/human-rights-and-security/conflict-minerals/due-diligence-framework>.

Results of inquiry.

Approximately 98% of the materials processed by smelters or refiners from which the Company’s suppliers sourced the relevant minerals used in the Company’s in-scope products either did not come from the Democratic Republic of Congo (“DRC”) or the applicable adjoining countries (collectively, “DRC Region”), or were recycled or scrap. A table listing all originating countries and recycled or scrap sources for each conflict mineral is set forth as Schedule 1 to the Report.

CONFLICT MINERALS DISCLOSURE

A copy of this Form SD and the Report, for the calendar year ended December 31, 2016, are available for access by all interested parties on the Company’s public Internet Web site, at

<http://www.bakerhughes.com/company/corporate-social-responsibility/human-rights-and-security/conflict-minerals>.

CONFLICT MINERALS REPORT

The Company has contemporaneously with this Form SD filed the Report, which is attached as **Exhibit 1.01**.

Section 2 – Exhibits

ITEM 2.01 EXHIBITS

Exhibit 1.01 Conflict Minerals Report

Signature

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this Report to be signed on its behalf by the duly authorized undersigned.

Baker Hughes Incorporated

/s/ Arthur L. Soucy

May 31, 2017

By ARTHUR L. SOUCY

Date

President, Products and Technology

Exhibit 1.01

Conflict Minerals Report

This Report has been prepared pursuant to Rule 13p-1 of the Securities Exchange Act of 1934, as amended (“Rule 13p-1”) for the reporting period from January 1 to December 31, 2016. The Company is a leading supplier of oilfield services, products, technology and systems to the worldwide oil and natural gas industry. The Company also provides industrial products and services to the downstream chemicals, and process and pipeline industries. The Company conducts its operations through subsidiaries, affiliates, ventures and alliances. The Company operates in more than 80 countries around the world and the corporate headquarters is in Houston, Texas.

The Company’s supply chain is both global and complex, and there are multiple tiers of suppliers between the Company and the original sources of minerals used in the Company’s products. Therefore, the Company relied on its direct suppliers to provide information about the origin of conflict minerals in the raw materials and components it purchased for use in the manufacture of, or contracts to manufacture, products that the Company offers for sale.

The Report contains forward-looking statements within the meaning of Section 27A of the Securities Act of 1933, as amended, and Section 21E of the Securities Exchange Act of 1934, as amended, (each a “forward-looking statement”). The words “will,” “intend,” “anticipate,” “believe,” “ensure,” “expect,” “if,” “estimate,” “project,” “foresee,” “predict,” “outlook,” “aim,” “could,” “should,” “potential,” “would,” “may,” “probable,” “likely,” and similar expressions, and the negative thereof, are intended to identify forward-looking statements. These forward-looking statements are also affected by the risk factors described in the Company’s Annual Report on Form 10-K for the year ended December 31, 2016, Quarterly Report on Form 10-Q for the quarter ended March 31, 2017, recent Current Reports on Form 8-K, and other Securities and Exchange Commission filings available through the Company’s website at: www.bakerhughes.com/investor or through the SEC’s Electronic Data Gathering and Analysis Retrieval (“EDGAR”) system at: www.sec.gov. The Company undertakes no obligation to publicly update or revise any forward-looking statement.

Reasonable Country of Origin Inquiry

Management Systems

The Company is committed to the responsible sourcing of raw materials and components necessary to the production or functionality of our products for sale, and we have publicly posted this policy. The policy, including the commitment to establishing a conflict-free supply chain, may be found at

<http://www.bakerhughes.com/company/corporate-social-responsibility/human-rights-and-security/conflict-minerals>.

In accordance with Rule 13p-1, the Company undertook a reasonable country of origin inquiry to determine the origin of the conflict minerals necessary to the production or functionality of the products we offered for sale during the reporting period. The Company undertook the following as part of that inquiry:

- created a Conflict Minerals Steering Council, composed of executive- and management-level representatives from Finance, Strategic Sourcing, Investor Relations, Global Supply Chain, Strategic Sourcing, Legal, Audit, Corporate Social Responsibility, Supplier Quality, and Global Trade Compliance;
 - incorporated our Conflict Minerals policy in our Master Supplier Agreement template for use with new and renewed contracts with suppliers;
 - utilized the Company’s existing mechanisms for reporting Conflict Minerals concerns, allowing contact by telephone, email and online, for both the public and internal reporters;
 - informed relevant suppliers of the Company’s expectations regarding supplier Conflict Minerals policy, due diligence processes, and responses to the Company’s requests for information;
 - identified those products we manufactured or contracted to manufacture that we reasonably believed contained one or more conflict minerals (defined as cassiterite, columbite-tantalite, gold, wolframite, and their derivatives, which are limited to tin, tantalum, tungsten, and gold collectively, the “Conflict Minerals” or sometimes “conflict minerals” or “3TGs”), by first eliminating those products that were clearly not subject to Rule 13p-1, including tool rentals, service-only, chemicals, and fluids;
-

- using lessons learned during the previous reporting period, we expanded our project scoping process to help identify all relevant raw materials or components used in the manufacture or contract for manufacture of the products specifically identified in the step above;
- identified 2529 suppliers that provided the materials or components specifically identified in the previous step;
- engaged the services of a third-party conflict minerals service provider to create and maintain a supplier engagement portal;
- using the third-party conflict minerals service provider's technology platform, contacted the identified suppliers;
- informed relevant suppliers of the Company's conflict minerals policy and our expectation for compliance with that policy and their cooperation in developing conflict minerals data;
- requested these suppliers to determine which of the materials or components they provided to the Company contained one or more conflict minerals;
- requested these suppliers to in turn require their suppliers to comply with the Company's conflict minerals requirements;
- requested these suppliers to develop a policy and management system covering conflict minerals and to require their suppliers to in turn adopt similar policies and systems;
- informed these suppliers of the informational and instructional materials available on our third-party conflict minerals service provider's Conflict Minerals Resource Center web page, pertaining to the conflict minerals regulation, the Conflict Minerals Reporting Template ("CMRT") questionnaire, and due diligence guidelines;
- requested confirmation from these suppliers of the presence of every necessary conflict mineral in the raw materials or components they supplied to the Company, and information regarding the origin of those minerals;
- established a deadline of May 5, 2017 to provide the requested conflict minerals information and documentation;
- followed up with unresponsive suppliers to request compliance with the Company's requests for information and documentation, until the stated deadline by sending up to three e-mailed messages by the Company's third-party service provider, and attempting at least two phone calls by the third-party service provider in cases when e-mail contact was unsuccessful;
- reviewed the responses compiled for each responding supplier to determine existence of a Conflict Minerals policy, due diligence process and passed through requirements for successive supplier tiers;
- reviewed the responses compiled for each responding supplier to determine which Smelter or Refiner ("SORs") were the source of necessary conflict minerals contained in the raw materials or components supplied to the Company;
- received completed questionnaires from 57% of the identified suppliers contacted by our third-party conflict minerals service provider;
- increased by 100% the identification of total conflict-free SORs over reporting period 2015; and
- identified a decrease by 89% from reporting period 2015 in the number of non-conflict free SORs sourcing from the DRC Region or as posing a high risk of sourcing from the DRC Region.

The Company has also participated in monthly Responsible Sourcing Network Multi-Stakeholder Group (MSG) calls and periodic Oil and Gas Services Working Group (OGSWG) meetings, as well as attended various webinars, to enable us to consider best practices and to explore opportunities to participate in responsible sourcing and supply chain transparency. Additionally, a representative of the Company's Conflict Minerals Management Team delivered a presentation at the 4th Conflict Minerals Reporting & Supply Chain Transparency Conference, to offer insight into the continued development of best practices.

The Company's responding relevant suppliers identified 317 verified SORs believed to be the source of necessary conflict minerals contained in the raw materials or components supplied to the Company. Of those supplier-identified SORs, 2 were not certified as Conflict-Free and potentially sourced minerals or ores from the DRC Region and 4 were identified as posing a high risk of sourcing from mines supporting conflict in the DRC Region. These 6 SORs required due diligence on the source and chain of custody of conflict minerals and are more fully described in the table located in Schedule 2 below.

The due diligence undertaken is more fully described below.

Design of Due Diligence

The Company's due diligence was designed in conformance with the due diligence related steps of a nationally or internationally recognized due diligence framework, specifically, the Organization for Economic Cooperation and Development (OECD) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (Second Edition). Specifically, OECD Step 1 is addressed above, under the heading "Reasonable Country of Origin Inquiry," and Steps 2 – 5 are addressed below in the subheadings under "Due Diligence Measures Undertaken."

Due Diligence Measures Undertaken

Identification and Assessment of Risks in the Supply Chain

The Company determined that approximately 2% of the identified SORs in our global supply chain required due diligence on source and chain of custody of the necessary conflict minerals ultimately provided to the Company, based upon the applicability of one or more of the following criteria:

- reported sourcing conflict minerals from the conflict area;
- provided data on SORs that self-report sourcing from a mine located in the conflict area;
- provided data on SORs that were reported by independent entities to source from a mine located in the conflict area;
- indicated that the SOR named by the supplier passed materials through a known or suspected country for smuggling, export out of other countries, or the transit of materials containing conflict minerals; or
- provided information about an SOR indicating the origin of the materials was not from a country known to hold reserves.

The SORs identified during the current reporting year as posing a risk of conflict sourcing represents a decrease of 15% of potential risks identified during the 2015 reporting year.

Response to Identified Risks

The Company undertook the following measures in its exercise of due diligence on the source and chain of custody of the necessary conflict minerals:

- independently verified all SOR information submitted by suppliers in their CMRTs, checking it against the third-party conflict minerals service provider's independent smelter research, including:
 - o merged duplicate submissions following verification of overlapping company information;
 - o eliminated submissions with garbage characters and obvious misspellings;
 - o validated named entities as actual SORs; and
 - o confirmed that each facility is a legitimate SOR of 3TGs;
- gathered information on legitimate SORs in the SOR databases from several sources, including without limitation the third-party service provider's independent research, Conflict-Free Sourcing Initiative (CFSI), London Bullion Market Association (LBMA), the Dubai Multi Commodities Centre (DMCC), the Responsible Jewellery Council (RJC), the US Department of Commerce (DoC), and the US Geological Survey (USGS) (the "Third-Party Database");
- if a supplier did not provide a proper identification number issued by a validating entity, such as CFSI or LBMA, we requested the supplier to provide the following information:
 - o the metal processed by the facility;
 - o the city, province/state and country where the facility is located;
 - o the name and email address for the designated contact at the facility;
 - o the recycled and scrap status of metals, minerals or ores processed by the facility;
 - o if the facility sources all of its metals, minerals or ores solely from recycled or scrap materials, the country of origin of those materials; and
 - o if the facility does not source all materials solely from recycled or scrap providers, the location of mines from which the facility sources its metals, minerals or ores;

- labeled as “Valid” those SOR submissions from suppliers that matched the Third-Party Database of legitimate SORs and performed additional verification:
 - inquire whether the SOR has been audited by one or more recognized certification entities, such as CFSI, LBMA, DMCC, or RJC, and if not, whether they undergo another form of an independent audit; and
 - those SORs that have not undergone a certification audit are asked if they plan to undertake a certification process in the future;
- labeled as "Invalid" those SORs submitted by a supplier that matched the Third-Party Database list of facilities known not to be a legitimate facility, or a common erroneous or inoperative name;
- labeled as "Undetermined" those SORs submitted by a supplier that did not match either the legitimate or non-legitimate lists in the Third-Party Database;
- suppliers that submit SOR names determined to be Invalid or Undetermined were requested to correct or amend the pertinent information;
- for each Valid SOR, assigned a risk rating of Low, Medium or High, based on the following factors:
 - whether the facility has or has not already successfully undergone a certification audit by a recognized entity;
 - whether the facility is registered with a certification body, and if so, is progressing toward completing an audit process by that body;
 - whether the facility is proximate to, conducts conflict mineral transactions with entities within, or transports materials through any of the following:
 - a Level 1 country, with known active ore production and not identified as either conflict regions or plausible countries engaged in smuggling materials containing conflict minerals;
 - a Level 2 country, known to or plausibly believed to be engaged in smuggling, export out of a Level 3 country, or as a transit for materials containing conflict minerals; or
 - a Level 3 country, the DRC or one of its nine adjoining countries, Angola, Burundi, Central African Republic, Republic of the Congo, Rwanda, South Sudan, Tanzania, Uganda, and Zambia, collectively referred to as "covered countries" in Section 1502 of the Dodd Frank Act;
- for each supplier, calculated a cumulative SOR risk, either low, medium, or high, summarizing the risk that the supplier poses to the Baker Hughes supply chain, based on the chances that the supplier furnishes 3TGs that may originate from non-conflict free sources:
 - obtained the value of the cumulative SOR risk for each supplier by collecting the risk ratings of all SORs associated with the supplier, or in the case of parts-level responses, each product/part provided by the supplier; and
 - for each supplier, or, as applicable, each product/part, assigned the overall risk rating equal to the risk rating level with the most SORs at that level;
- reported above identified risks to appropriate senior management, including Legal, Procurement and Strategic Sourcing, for monitoring and determination of appropriate corrective action.

Independent Audit of SOR Due Diligence Practices

- The Company expects to become a participating member of the Conflict Free Smelter Initiative (CFSI) in June, 2017, and to thereby support efforts by the CFSI to promote smelter and refiner registration, audit and verification of conflict status.

Annual Report on Supply Due Diligence

The Company annually reports on our global supply chain due diligence and makes the current and every historical report available on our public website at the following weblink:

<http://www.bakerhughes.com/company/corporate-social-responsibility/human-rights-and-security/conflict-minerals>.

Independent Private Sector Audit

The Company is not subject to an independent private sector audit of the Report.

Results of Due Diligence Undertaken and Processing Facilities

Based on the Company's due diligence efforts to date, the Company does not have sufficient information to fully determine each processing facility utilized to produce the conflict minerals used in each of the Company's relevant products. However, Schedule 2 below lists the processing facilities that source minerals from the DRC, for which the Company has been able to confirm the information provided by our suppliers.

Based on the Company's due diligence efforts to date, the Company does not have sufficient information to fully determine the country of origin of the conflict minerals in each of our relevant products, or whether the conflict minerals in each of our products were from recycled or scrap sources. However, Schedule 1 below lists the countries of origin, by pertinent mineral, for which the Company has been able to confirm the information provided by our suppliers.

The efforts to determine the origin of conflict minerals are more fully described in the section entitled "Due Diligence Measures Undertaken."

Risk Mitigation

With respect to those products the Company manufactures or contracts to be manufactured for sale that contain necessary conflict minerals, the Company plans to undertake the following steps to mitigate the risk that our necessary conflict minerals could unintentionally benefit armed groups:

- improve processes to identify the presence of necessary conflict minerals in products we manufacture or contract to be manufactured and offer for sale by:
 - seeking to increase our supplier response rate to 60% in reporting period 2017, although response rates will depend on supplier cooperation, and
 - incorporating a flow-down clause on all new or renewed Master Service Agreements, creating a contractual obligation on the part of suppliers to comply with the Company's conflict minerals requirements and to in turn require policy and systems implementation by successive supply chain tiers;
- continue to assess the presence of necessary conflict minerals in our relevant supply chain;
- continue to perform due diligence on the necessary conflict minerals supplied to us, to determine their origin;
- continue to clearly communicate to suppliers our expectations with regard to compliance with the Company's stated policies, performance, transparency and responsible sourcing practices;
- engage with our suppliers to properly identify and obtain relevant information from "Invalid" or "Undetermined" SORs in our supply chain;
- engage with our suppliers to encourage them to source from conflict-free SORs or mines and obtain from their applicable SORs or mines conflict-free designations from recognized certification programs;
- continue to engage our suppliers that did not respond to our request for conflict minerals information for reporting period 2016, ultimately seeking to engage as many of those suppliers as possible, to determine for reporting year 2017:
 - those suppliers' use of necessary conflict minerals,
 - the country of origin of those conflict minerals,
 - the use of scrap or recycled sources of those conflict minerals, and
 - the source and chain of custody of those conflict minerals originating in the conflict area and not obtained from scrap or recycled sources;
- follow up with all high and medium cumulative risk suppliers in order to assist them in understanding their risk level and the future implications their risk level could have on the Company's conflict minerals program;
- become a member of and actively participate in the Conflict Free Smelter Initiative beginning in June 2017 to improve and expand engagement of SORs by independent certifying organizations;
- monitor the activities, initiatives and programs of DRC regional governments and agencies, international bodies, and non-governmental organizations that are aimed at minimizing or eliminating the benefit to relevant armed

groups derived from conflict minerals, and, where practicable, to support or implement those activities, initiatives or programs;

- seek, where practicable, alternative suppliers that responsibly source necessary conflict minerals, which may include sources within the conflict area that do not benefit armed groups; and
- continue to participate in local and national industry groups, as well as non-governmental organizations, such as the Responsible Sourcing Network Multi-Stakeholder Group and the Oil and Gas Services Working Group on conflict minerals, to develop best practices regarding responsible sourcing and supply chain transparency.

Products Description

The Company products that are considered to contain necessary conflict minerals include the following:

- **Drill Bits** - includes Tricone™, PDC or “diamond”, and Kymera™ hybrid drill bits used for performance drilling, hole enlargement and coring.
- **Completion Systems** - includes products used to control the flow of hydrocarbons within a wellbore including sand control systems; liner hangers; wellbore isolation; expandable tubulars; multilaterals; safety systems; packers and flow control; and tubing conveyed perforating.
- **Wellbore Intervention** - includes products used in existing wellbores to improve their performance including thru-tubing fishing; thru-tubing inflatables; conventional fishing; casing exit systems; production injection packers; and remedial and stimulation tools.
- **Intelligent Production Systems** - includes products used to monitor and dynamically control the production from individual wells or fields including intelligent well systems.
- **Artificial Lift** - includes electric submersible pump systems; progressing cavity pump systems; gas lift systems; and surface horizontal pumping systems used to lift large volumes of oil and water when a reservoir is no longer able to flow on its own.

Schedule 1

The information in this Schedule is solely an aggregation of data provided by verified SORs identified by the Company's suppliers. This is not a confirmation of conflict minerals actually contained in the Company's products. Additionally, since this aggregation depends on self-identification by SORs, the following lists are not a confirmation or verification of every country of origin.

Countries of Origin - Tantalum

| | | | |
|----------|--------------------|----------|---------------|
| Brazil | Germany | Rwanda * | Recycle/Scrap |
| China | Mexico | | |
| Ethiopia | Russian Federation | | |

Countries of Origin - Tin

| | | | |
|---------|-------------|---------------|--|
| Bolivia | Indonesia | | |
| Brazil | Malaysia | | |
| China | Philippines | Recycle/Scrap | |

Countries of Origin - Tungsten

| | | | |
|---------|--------------------|---------------|--|
| Austria | Germany | | |
| Canada | Russian Federation | | |
| China | Viet Nam | Recycle/Scrap | |

Countries of Origin - Gold

| | | | |
|----------------|------------|--------------------|----------------------|
| Australia | France | Mexico | United Arab Emirates |
| Austria | Germany | Netherlands | Zambia * |
| Brazil | India | Peru | Zimbabwe |
| Canada | Italy | Russian Federation | |
| Chile | Japan | South Africa | Recycle/Scrap |
| China | Kazakhstan | Spain | |
| Czech Republic | Malaysia | Switzerland | |

* = DRC Region countries

Schedule 2

Smelters or Refiners with Identified Mineral Sources

The information in this Schedule is solely an aggregation of data provided by verified SORs identified by the Company's suppliers. This is not a confirmation of conflict minerals actually contained in the Company's products. Additionally, since this aggregation depends on self-identification by SORs, the following lists are not a confirmation or verification of every country of origin.

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|--|---|----------|-----------------|--------------------------|------------------------------------|---|
| Abington Reldan Metals, LLC | Abington Reldan Metals, LLC | Gold | | UNITED STATES OF AMERICA | | |
| ACL Metais Eireli | ACL Metais Eireli | Tungsten | | BRAZIL | | |
| Advanced Chemical Company | Advanced Chemical Company | Gold | Yes | UNITED STATES OF AMERICA | | |
| Aida Chemical Industries Co., Ltd. | Aida Chemical Industries Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| Al Etihad Gold Refinery DMCC | Al Etihad Gold Refinery DMCC | Gold | Yes | UNITED ARAB EMIRATES | | United Arab Emirates |
| Allgemeine Gold-und Silberscheideanstalt A.G. | Allgemeine Gold-und Silberscheideanstalt A.G. | Gold | Yes | GERMANY | | Recycled, Scrap |
| Almalyk Mining and Metallurgical Complex (AMMC) | Almalyk Mining and Metallurgical Complex (AMMC) | Gold | Yes | UZBEKISTAN | | |
| ALMT Corp | A.L.M.T. TUNGSTEN Corp. | Tungsten | Yes | JAPAN | | N/A |
| An Thai Minerals Co., Ltd. | An Thai Minerals Co., Ltd. | Tin | | VIET NAM | | |
| An Vinh Joint Stock Mineral Processing Company | An Vinh Joint Stock Mineral Processing Company | Tin | | VIET NAM | | |
| AngloGold Ashanti Córrego do Sítio Mineração | AngloGold Ashanti Córrego do Sítio Mineração | Gold | Yes | BRAZIL | | Brazil |
| Argor-Heraeus S.A. | Argor-Heraeus S.A. | Gold | Yes | SWITZERLAND | | Switzerland |
| Asahi Pretec Corp. | Asahi Pretec Corp. | Gold | Yes | JAPAN | | Recycled |
| Asaka Riken Co., Ltd. | Asaka Riken Co., Ltd. | Gold | Yes | JAPAN | | |
| Asia Tungsten Products Vietnam Ltd. | Asia Tungsten Products Vietnam Ltd. | Tungsten | Yes | VIET NAM | | |
| Atasay Kuyumculuk Sanayi Ve Ticaret A.S. | Atasay Kuyumculuk Sanayi Ve Ticaret A.S. | Gold | | TURKEY | | |
| AU Traders and Refiners | AU Traders and Refiners | Gold | Yes | SOUTH AFRICA | | South Africa |
| AURA-II | AURA-II | Gold | | UNITED STATES OF AMERICA | | |
| Bangalore Refinery | Bangalore Refinery | Gold | | INDIA | | |
| Boliden AB | Boliden AB | Gold | Yes | SWEDEN | | |
| C. Hafner GmbH + Co. KG | C. Hafner GmbH + Co. KG | Gold | Yes | GERMANY | | Germany |
| Cendres + Métaux S.A. | Cendres + Métaux S.A. | Gold | | SWITZERLAND | | |
| Central Bank of the Philippines Gold Refinery & Mint | Bangko Sentral ng Pilipinas (Central Bank of the Philippines) | Gold | Yes | PHILIPPINES | | |
| Changsha Southern | Changsha South Tantalum Niobium Co., Ltd. | Tantalum | Yes | CHINA | | |
| Chenzhou Diamond Tungsten Products Co., Ltd. | Chenzhou Diamond Tungsten Products Co., Ltd. | Tungsten | Yes | CHINA | | |
| Chenzhou Yunxiang Mining and Metallurgy Co., Ltd. | Chenzhou Yunxiang Mining and Metallurgy Co., Ltd. | Tin | Yes | CHINA | | |
| Chimet S.p.A. | Chimet S.p.A. | Gold | Yes | ITALY | | Italy |
| Chugai Mining | Chugai Mining | Gold | | JAPAN | | None |

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|---|---|----------|-----------------|----------------------------------|------------------------------------|---|
| Conghua Tantalum and Niobium Smeltry | Conghua Tantalum and Niobium Smeltry | Tantalum | Yes | CHINA | | |
| Cookson Alpha Metals (Shenzhen) Co., Ltd. | Alpha | Tin | Yes | UNITED STATES OF AMERICA | | |
| Cooperativa Metalurgica de Rondônia Ltda. | Cooperativa Metalurgica de Rondônia Ltda. | Tin | Yes | BRAZIL | | Indonesia; Brazil |
| CV Ayi Jaya | CV Ayi Jaya | Tin | Yes | INDONESIA | | |
| CV Dua Sekawan | CV Dua Sekawan | Tin | Yes | INDONESIA | | |
| CV Gita Pesona | CV Gita Pesona | Tin | Yes | INDONESIA | | |
| CV Serumpun Sebalai | CV Serumpun Sebalai | Tin | Yes | INDONESIA | | Not Provided |
| CV Tiga Sekawan | CV Tiga Sekawan | Tin | Yes | INDONESIA | | |
| CV United Smelting | CV United Smelting | Tin | Yes | INDONESIA | | None |
| CV Venus Inti Perkasa | CV Venus Inti Perkasa | Tin | Yes | INDONESIA | | |
| D Block Metals, LLC | D Block Metals, LLC | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| Daejin Indus Co., Ltd. | Daejin Indus Co., Ltd. | Gold | Yes | KOREA (REPUBLIC OF) | | |
| Daye Non-Ferrous Metals Mining Ltd. | Daye Non-Ferrous Metals Mining Ltd. | Gold | Yes | CHINA | | |
| Dayu Jincheng Tungsten Industry Co., Ltd. | Dayu Jincheng Tungsten Industry Co., Ltd. | Tungsten | | CHINA | | |
| Dayu Weiliang Tungsten Co., Ltd. | Dayu Weiliang Tungsten Co., Ltd. | Tungsten | | CHINA | | |
| DODUCO GmbH | DODUCO GmbH | Gold | Yes | GERMANY | | |
| Dowa Metals & Mining Co. Ltd | Dowa | Gold | Yes | JAPAN | | Japan; Australia; Canada; Recycled/Scrap |
| Dowa Metaltech Co., Ltd. | Dowa | Tin | Yes | JAPAN | | |
| DSC (Do Sung Corporation) | DSC (Do Sung Corporation) | Gold | Yes | KOREA (REPUBLIC OF) | | |
| Eco-System Recycling Co., Ltd. | Eco-System Recycling Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company | Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company | Tin | | VIET NAM | | |
| Elmet S.L.U. | Elmet S.L.U. | Tin | Yes | SPAIN | | |
| Emirates Gold DMCC | Emirates Gold DMCC | Gold | Yes | UNITED ARAB EMIRATES | | |
| ENAF | EM Vinto | Tin | Yes | BOLIVIA (PLURINATIONAL STATE OF) | | |
| Estanho de Rondônia S.A. | Estanho de Rondônia S.A. | Tin | | BRAZIL | | |
| Exotech Inc. | Exotech Inc. | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| F&X Electro-Materials Ltd. | F&X Electro-Materials Ltd. | Tantalum | Yes | CHINA | | N/A |
| Fenix Metals | Fenix Metals | Tin | Yes | POLAND | | |
| Fidelity Printers and Refiners Ltd. ** | Fidelity Printers and Refiners Ltd. | Gold | | ZIMBABWE | | Zimbabwe |
| FIR Metals & Resource Ltd. | FIR Metals & Resource Ltd. | Tantalum | Yes | CHINA | | |
| Fujian Jinxin Tungsten Co., Ltd. | Fujian Jinxin Tungsten Co., Ltd. | Tungsten | Yes | CHINA | | |
| Gansu Seemine Material Hi-Tech Co., Ltd. | Gansu Seemine Material Hi-Tech Co., Ltd. | Gold | | CHINA | | |
| Ganzhou Jiangwu Ferrotungsten Co., Ltd. | Ganzhou Jiangwu Ferrotungsten Co., Ltd. | Tungsten | Yes | CHINA | | |
| Ganzhou Seadragon W & Mo Co., Ltd. | Ganzhou Seadragon W & Mo Co., Ltd. | Tungsten | Yes | CHINA | | China |
| Ganzhou Yatai Tungsten Co., Ltd. | Ganzhou Yatai Tungsten Co., Ltd. | Tungsten | | CHINA | | China |
| Geib Refining Corporation | Geib Refining Corporation | Gold | | UNITED STATES OF AMERICA | | |
| Gejiu Fengming Metallurgy Chemical Plant | Gejiu Fengming Metallurgy Chemical Plant | Tin | Yes | CHINA | | |

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|---|---|----------|-----------------|--------------------------|------------------------------------|--|
| Gejiu Jinye Mineral Company | Gejiu Jinye Mineral Company | Tin | Yes | CHINA | | China |
| Gejiu Non-Ferrous Metal Processing Co., Ltd. | Gejiu Non-Ferrous Metal Processing Co., Ltd. | Tin | Yes | CHINA | | China; Bolivia |
| Gejiu Zili Mining And Metallurgy Co., Ltd. | Gejiu Zili Mining And Metallurgy Co., Ltd. | Tin | | CHINA | | |
| Global Advanced Metals Aizu | Global Advanced Metals Aizu | Tantalum | Yes | JAPAN | | |
| Global Advanced Metals Boyertown | Global Advanced Metals Boyertown | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| Global Tungsten & Powders Corp. | Global Tungsten & Powders Corp. | Tungsten | Yes | UNITED STATES OF AMERICA | | Confidential |
| Guangdong Jinding Gold Limited | Guangdong Jinding Gold Limited | Gold | | CHINA | | |
| Guangdong Xianglu Tungsten Co., Ltd. | Guangdong Xianglu Tungsten Co., Ltd. | Tungsten | Yes | CHINA | | China |
| Guangdong Zhiyuan New Material Co., Ltd. | Guangdong Zhiyuan New Material Co., Ltd. | Tantalum | Yes | CHINA | | |
| Guangxi Pinggui PGMA Co. Ltd. | CNMC (Guangxi) PGMA Co., Ltd. | Tin | | CHINA | | |
| Guanyang Guida Nonferrous Metal Smelting Plant | Guanyang Guida Nonferrous Metal Smelting Plant | Tin | Yes | CHINA | | |
| Gujarat Gold Centre | Gujarat Gold Centre | Gold | | INDIA | | India |
| H.C. Starck Co., Ltd. | H.C. Starck Co., Ltd. | Tantalum | Yes | THAILAND | | N/A |
| H.C. Starck GmbH | H.C. Starck GmbH | Tungsten | Yes | GERMANY | | Germany |
| H.C. Starck GmbH Goslar | H.C. Starck GmbH Goslar | Tantalum | Yes | GERMANY | | Germany |
| H.C. Starck GmbH Laufenburg | H.C. Starck GmbH Laufenburg | Tantalum | Yes | GERMANY | | |
| H.C. Starck Hermsdorf GmbH | H.C. Starck Hermsdorf GmbH | Tantalum | Yes | GERMANY | | Unknown. The Smelter Refused To Disclose Its COI Publicly. |
| H.C. Starck Inc. | H.C. Starck Inc. | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| H.C. Starck Ltd. | H.C. Starck Ltd. | Tantalum | Yes | JAPAN | | Unknown. The Smelter Refused To Disclose Its COI Publicly. |
| H.C. Starck Smelting GmbH & Co. KG | H.C. Starck Smelting GmbH & Co. KG | Tantalum | Yes | GERMANY | | |
| H.C. Starck Smelting GmbH & Co.KG | H.C. Starck Smelting GmbH & Co.KG | Tungsten | Yes | GERMANY | | |
| Hangzhou Fuchunjiang Smelting Co., Ltd. | Hangzhou Fuchunjiang Smelting Co., Ltd. | Gold | | CHINA | | |
| Heimerle + Meule GmbH | Heimerle + Meule GmbH | Gold | Yes | GERMANY | | Yes |
| Hengyang King Xing Lifeng New Materials Co., Ltd. | Hengyang King Xing Lifeng New Materials Co., Ltd. | Tantalum | Yes | CHINA | | |
| Heraeus Ltd. Hong Kong | Heraeus Ltd. Hong Kong | Gold | Yes | CHINA | | No |
| Heraeus Precious Metals GmbH & Co. KG | Heraeus Precious Metals GmbH & Co. KG | Gold | Yes | GERMANY | | Unknown |
| Hi-Temp Specialty Metals, Inc. | Hi-Temp Specialty Metals, Inc. | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| HuiChang Hill Tin Industry Co., Ltd. | HuiChang Hill Tin Industry Co., Ltd. | Tin | Yes | CHINA | | |
| Hunan Chenzhou Mining Group Co., Ltd. | Hunan Chenzhou Mining Co., Ltd. | Tungsten | Yes | CHINA | | |
| Hunan Chenzhou Mining Industry Co. Ltd. | Hunan Chenzhou Mining Co., Ltd. | Gold | | CHINA | | |
| Hunan Chuangda Vanadium Tungsten Co., Ltd. Wuji | Hunan Chuangda Vanadium Tungsten Co., Ltd. Wuji | Tungsten | Yes | CHINA | | China |
| Hunan Chunchang Nonferrous Metals Co., Ltd. | Hunan Chunchang Nonferrous Metals Co., Ltd. | Tungsten | Yes | CHINA | | China |
| HwaSeong CJ Co., Ltd. | HwaSeong CJ Co., Ltd. | Gold | | KOREA (REPUBLIC OF) | | |

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|---|---|----------|--------------------|--------------------------|--|--|
| Hydrometallurg, JSC | Hydrometallurg, JSC | Tungsten | Yes | RUSSIAN FEDERATION | | Russian Federation |
| Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd. | Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd. | Gold | Yes | CHINA | | |
| Ishifuku Metal Industry Co., Ltd. | Ishifuku Metal Industry Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| Istanbul Gold Refinery | Istanbul Gold Refinery | Gold | Yes | TURKEY | | |
| Japan Mint | Japan Mint | Gold | Yes | JAPAN | | Japan |
| Japan New Metals Co., Ltd. | Japan New Metals Co., Ltd. | Tungsten | Yes | JAPAN | | |
| Jiangwu H.C. Starck Tungsten Products Co., Ltd. | Jiangwu H.C. Starck Tungsten Products Co., Ltd. | Tungsten | Yes | CHINA | | |
| Jiangxi Copper Co., Ltd. | Jiangxi Copper Co., Ltd. | Gold | Yes | CHINA | | |
| Jiangxi Dayu Longxintai Tungsten Co., Ltd. | Jiangxi Dayu Longxintai Tungsten Co., Ltd. | Tungsten | | CHINA | | |
| Jiangxi Dinghai Tantalum & Niobium Co., Ltd. | Jiangxi Dinghai Tantalum & Niobium Co., Ltd. | Tantalum | Yes | CHINA | | China |
| Jiangxi Gan Bei Tungsten Co., Ltd. | Jiangxi Gan Bei Tungsten Co., Ltd. | Tungsten | Yes | CHINA | | China |
| Jiangxi Ketai Advanced Material Co., Ltd. | Jiangxi Ketai Advanced Material Co., Ltd. | Tin | Yes | CHINA | | |
| Jiangxi Minmetals Gao'an Non-ferrous Metals Co., Ltd. | Jiangxi Minmetals Gao'an Non-ferrous Metals Co., Ltd. | Tungsten | | CHINA | | |
| Jiangxi Shunda Huichang Kam Tin Co., Ltd. | Huichang Jinshunda Tin Co., Ltd. | Tin | | CHINA | | |
| Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd. | Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd. | Tungsten | Yes | CHINA | | |
| Jiangxi Tungsten Industry Group Co. Ltd. | Ganzhou Huaxing Tungsten Products Co., Ltd. | Tungsten | Yes | CHINA | | China |
| Jiangxi Tuohong New Raw Material | Jiangxi Tuohong New Raw Material | Tantalum | Yes | CHINA | | |
| Jiangxi Xinsheng Tungsten Industry Co., Ltd. | Jiangxi Xinsheng Tungsten Industry Co., Ltd. | Tungsten | Yes | CHINA | | |
| Jiangxi Xiushui Xianggan Nonferrous Metals Co., Ltd. | Jiangxi Xiushui Xianggan Nonferrous Metals Co., Ltd. | Tungsten | Yes | CHINA | | |
| Jiangxi Yaosheng Tungsten Co., Ltd. | Jiangxi Yaosheng Tungsten Co., Ltd. | Tungsten | Yes | CHINA | | |
| JiuJiang JinXin Nonferrous Metals Co., Ltd. | JiuJiang JinXin Nonferrous Metals Co., Ltd. | Tantalum | Yes | CHINA | | |
| Jiujiang Tanbre Co., Ltd. | Jiujiang Tanbre Co., Ltd. | Tantalum | Yes | CHINA | | |
| Jiujiang Zhongao Tantalum & Niobium Co., Ltd. | Jiujiang Zhongao Tantalum & Niobium Co., Ltd. | Tantalum | Yes | CHINA | | |
| Johnson Matthey Inc. (USA) | Asahi Refining USA Inc. | Gold | Yes | UNITED STATES OF AMERICA | | |
| Johnson Matthey Limited | Asahi Refining Canada Ltd. | Gold | Yes | CANADA | | Ontario |
| JSC Ekaterinburg Non- Ferrous Metal Processing Plant | JSC Ekaterinburg Non- Ferrous Metal Processing Plant | Gold | Yes | RUSSIAN FEDERATION | | Russian Federation |
| JSC Uralelectromed | JSC Uralelectromed | Gold | Yes | RUSSIAN FEDERATION | | |
| Kai Unita Trade Limited Liability Company | Gejiu Kai Meng Industry and Trade LLC | Tin | | CHINA | | |
| Kaloti Precious Metals ** | Kaloti Precious Metals | Gold | | UNITED ARAB EMIRATES | | |
| Kazakhmys Smelting LLC | Kazakhmys Smelting LLC | Gold | | KAZAKHSTAN | | Kazakhstan |
| Kazzinc | Kazzinc | Gold | Yes | KAZAKHSTAN | | |
| KEMET Blue Metals | KEMET Blue Metals | Tantalum | Yes | MEXICO | | Mexico |

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|--|--|----------|--------------------|--------------------------|--|--|
| KEMET Blue Powder | KEMET Blue Powder | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| Kennametal Fallon | Kennametal Fallon | Tungsten | Yes | UNITED STATES OF AMERICA | | |
| Kennametal Huntsville | Kennametal Huntsville | Tungsten | Yes | UNITED STATES OF AMERICA | | |
| Kennecott Utah Copper LLC | Kennecott Utah Copper LLC | Gold | Yes | UNITED STATES OF AMERICA | | |
| King-Tan Tantalum Industry Ltd. | King-Tan Tantalum Industry Ltd. | Tantalum | Yes | CHINA | | |
| Kojima Kagaku Yakuhin Co., Ltd. | Kojima Chemicals Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| Kombinat Gorniczo Hutniczy Miedz Polska Miedz S.A. | KGHM Polska Miedz Spółka Akcyjna | Gold | | POLAND | | |
| Korea Zinc Co., Ltd. | Korea Zinc Co., Ltd. | Gold | Yes | KOREA (REPUBLIC OF) | | |
| Kyrgyzaltyn JSC | Kyrgyzaltyn JSC | Gold | Yes | KYRGYZSTAN | | |
| La Caridad | Caridad | Gold | | MEXICO | | Unknown; Chile; Mexico |
| L'azurde Company For Jewelry | L'azurde Company For Jewelry | Gold | | SAUDI ARABIA | | |
| Lingbao Gold Co., Ltd. | Lingbao Gold Co., Ltd. | Gold | | CHINA | | |
| Lingbao Jinyuan Tonghui Refinery Co., Ltd. | Lingbao Jinyuan Tonghui Refinery Co., Ltd. | Gold | | CHINA | | |
| LSM Brasil S.A. | LSM Brasil S.A. | Tantalum | Yes | BRAZIL | | Brazil |
| LS-NIKKO Copper Inc. | LS-NIKKO Copper Inc. | Gold | Yes | KOREA (REPUBLIC OF) | | |
| Luoyang Zijin Yinhui Metal Smelt Co Ltd | Luoyang Zijin Yinhui Gold Refinery Co., Ltd. | Gold | | CHINA | | |
| Magnu's Minerais Metais e Ligas Ltda. | Magnu's Minerais Metais e Ligas Ltda. | Tin | Yes | BRAZIL | | Brazil |
| Malipo Haiyu Tungsten Co., Ltd. | Malipo Haiyu Tungsten Co., Ltd. | Tungsten | Yes | CHINA | | |
| Materion | Materion | Gold | Yes | UNITED STATES OF AMERICA | | |
| Matsuda Sangyo Co., Ltd. | Matsuda Sangyo Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| Melt Metais e Ligas S.A. | Melt Metais e Ligas S.A. | Tin | Yes | BRAZIL | | |
| Metallic Resources, Inc. | Metallic Resources, Inc. | Tin | Yes | UNITED STATES OF AMERICA | | |
| Metallo-Chimique N.V. | Metallo-Chimique N.V. | Tin | Yes | BELGIUM | | Recycled Scrap Material |
| Metallurgical Products India Pvt., Ltd. | Metallurgical Products India Pvt., Ltd. | Tantalum | Yes | INDIA | | |
| Metalor Technologies (Hong Kong) Ltd. | Metalor Technologies (Hong Kong) Ltd. | Gold | Yes | CHINA | | No |
| Metalor Technologies (Singapore) Pte., Ltd. | Metalor Technologies (Singapore) Pte., Ltd. | Gold | Yes | SINGAPORE | | |
| Metalor Technologies (Suzhou) Ltd. | Metalor Technologies (Suzhou) Ltd. | Gold | Yes | CHINA | | |
| Metalor Technologies S.A. | Metalor Technologies S.A. | Gold | Yes | SWITZERLAND | | Switzerland; Unknown |
| Metalor USA Refining Corporation | Metalor USA Refining Corporation | Gold | Yes | UNITED STATES OF AMERICA | | |
| Met-Mex Penoles, S.A. | Metalúrgica Met-Mex Peñoles S.A. De C.V. | Gold | Yes | MEXICO | | Mexico |
| Mineração Taboca S.A. | Mineração Taboca S.A. | Tantalum | Yes | BRAZIL | | Brazil |
| Minsur | Minsur | Tin | Yes | PERU | | Unknown |
| Mitsubishi Materials Corporation | Mitsubishi Materials Corporation | Tin | Yes | JAPAN | | Recycled |
| Mitsubishi Materials Corporation | Mitsubishi Materials Corporation | Gold | Yes | JAPAN | | Recycled |
| Mitsui Mining and Smelting Co., Ltd. | Mitsui Mining and Smelting Co., Ltd. | Tantalum | Yes | JAPAN | | Unknown |
| Mitsui Mining and Smelting Co., Ltd. | Mitsui Mining and Smelting Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| MMTC-PAMP India Pvt., Ltd. | MMTC-PAMP India Pvt., Ltd. | Gold | Yes | INDIA | | |

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|---|---|----------|-----------------|----------------------------------|------------------------------------|---|
| Modeltech Sdn Bhd | Modeltech Sdn Bhd | Tin | | MALAYSIA | | Malaysia |
| Modeltech Sdn Bhd | Modeltech Sdn Bhd | Gold | | MALAYSIA | | Malaysia |
| Moliren Ltd | Moliren Ltd | Tungsten | Yes | RUSSIAN FEDERATION | | |
| Molycorp Silmet A.S. | Molycorp Silmet A.S. | Tantalum | Yes | ESTONIA | | |
| Morris and Watson | Morris and Watson | Gold | | NEW ZEALAND | | |
| Moscow Special Alloys Processing Plant | Moscow Special Alloys Processing Plant | Gold | Yes | RUSSIAN FEDERATION | | Russian Federation |
| MSC | Malaysia Smelting Corporation (MSC) | Tin | Yes | MALAYSIA | | Unknown |
| Nadir Metal Rafineri San. Ve Tic. A.Ş. | Nadir Metal Rafineri San. Ve Tic. A.Ş. | Gold | Yes | TURKEY | | Recycled |
| Nankang Nanshan Tin Manufactory Co., Ltd. | Nankang Nanshan Tin Manufactory Co., Ltd. | Tin | | CHINA | | |
| Navoi Mining and Metallurgical Combinat | Navoi Mining and Metallurgical Combinat | Gold | | UZBEKISTAN | | Substrate Not Provided |
| Nghe Tinh Non-Ferrous Metals Joint Stock Company | Nghe Tinh Non-Ferrous Metals Joint Stock Company | Tin | | VIET NAM | | |
| Niagara Refining LLC | Niagara Refining LLC | Tungsten | Yes | UNITED STATES OF AMERICA | | |
| Nihon Material Co., Ltd. | Nihon Material Co., Ltd. | Gold | Yes | JAPAN | | Yes |
| Ningxia Orient Tantalum Industry Co., Ltd. | Ningxia Orient Tantalum Industry Co., Ltd. | Tantalum | Yes | CHINA | Rwanda | Recycled/Scrap; Brazil; China; Ethiopia |
| Norddeutsche Affinerie AG | Aurubis AG | Gold | Yes | GERMANY | | Germany |
| Nui Phao H.C. Starck Tungsten Chemicals Manufacturing LLC | Nui Phao H.C. Starck Tungsten Chemicals Manufacturing LLC | Tungsten | Yes | VIET NAM | | Viet Nam |
| O.M. Manufacturing (Thailand) Co., Ltd. | O.M. Manufacturing (Thailand) Co., Ltd. | Tin | Yes | THAILAND | | |
| O.M. Manufacturing Philippines, Inc. | O.M. Manufacturing Philippines, Inc. | Tin | Yes | PHILIPPINES | | Philippines |
| Ögussa Österreichische Gold- und Silber-Scheideanstalt GmbH | Ögussa Österreichische Gold- und Silber-Scheideanstalt GmbH | Gold | Yes | AUSTRIA | | Austria |
| Ohio Precious Metals, LLC | Elemetal Refining, LLC | Gold | Yes | UNITED STATES OF AMERICA | | |
| Ohura Precious Metal Industry Co., Ltd. | Ohura Precious Metal Industry Co., Ltd. | Gold | Yes | JAPAN | | No |
| OJSC Krastsvetmet | OJSC "The Gulidov Krasnoyarsk Non-Ferrous Metals Plant" (OJSC Krastsvetmet) | Gold | Yes | RUSSIAN FEDERATION | | |
| OJSC Novosibirsk Refinery | OJSC Novosibirsk Refinery | Gold | Yes | RUSSIAN FEDERATION | | |
| Operaciones Metalurgical S.A. | Operaciones Metalurgical S.A. | Tin | Yes | BOLIVIA (PLURINATIONAL STATE OF) | | |
| PAMP S.A. | PAMP S.A. | Gold | Yes | SWITZERLAND | | |
| Pan Pacific Copper Co Ltd. | JX Nippon Mining & Metals Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| Penglai Penggang Gold Industry Co., Ltd. | Penglai Penggang Gold Industry Co., Ltd. | Gold | | CHINA | | |
| Philippine Chuangxin Industrial Co., Inc. | Philippine Chuangxin Industrial Co., Inc. | Tungsten | Yes | PHILIPPINES | | |
| Phoenix Metal Ltd. ** | Phoenix Metal Ltd. | Tin | | RWANDA | (SOR located in Rwanda) | |
| Plansee SE Liezen | Plansee SE Liezen | Tantalum | Yes | AUSTRIA | | |
| Plansee SE Reutte | Plansee SE Reutte | Tantalum | Yes | AUSTRIA | | |
| Prioksky Plant of Non-Ferrous Metals | Prioksky Plant of Non-Ferrous Metals | Gold | Yes | RUSSIAN FEDERATION | | |
| PT Aneka Tambang (Persero) Tbk | PT Aneka Tambang (Persero) Tbk | Gold | Yes | INDONESIA | | |
| PT Aries Kencana Sejahtera | PT Aries Kencana Sejahtera | Tin | Yes | INDONESIA | | |
| PT Artha Cipta Langgeng | PT Artha Cipta Langgeng | Tin | Yes | INDONESIA | | Not Provided |

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|--|--------------------------------------|----------|--------------------|---------------------------|--|--|
| PT ATD Makmur Mandiri Jaya | PT ATD Makmur Mandiri Jaya | Tin | Yes | INDONESIA | | |
| PT Babel Inti Perkasa | PT Babel Inti Perkasa | Tin | Yes | INDONESIA | | Not Provided |
| PT Bangka Prima Tin | PT Bangka Prima Tin | Tin | Yes | INDONESIA | | |
| PT Bangka Tin Industry | PT Bangka Tin Industry | Tin | Yes | INDONESIA | | Indonesia; Unknown |
| PT Belitung Industri Sejahtera | PT Belitung Industri Sejahtera | Tin | Yes | INDONESIA | | No |
| PT Cipta Persada Mulia | PT Cipta Persada Mulia | Tin | Yes | INDONESIA | | Indonesia |
| PT DS Jaya Abadi | PT DS Jaya Abadi | Tin | Yes | INDONESIA | | Indonesia |
| PT Eunindo Usaha Mandiri | PT Eunindo Usaha Mandiri | Tin | Yes | INDONESIA | | Indonesia |
| PT Indra Eramult Logam Industri | PT Bukit Timah | Tin | Yes | INDONESIA | | Unknown; Indonesia; Not Provided |
| PT Inti Stania Prima | PT Inti Stania Prima | Tin | Yes | INDONESIA | | Indonesia |
| PT Justindo | PT Justindo | Tin | Yes | INDONESIA | | |
| PT Karimun Mining | PT Karimun Mining | Tin | Yes | INDONESIA | | |
| PT Kijang Jaya Mandiri | PT Kijang Jaya Mandiri | Tin | Yes | INDONESIA | | |
| PT Mitra Stania Prima | PT Mitra Stania Prima | Tin | Yes | INDONESIA | | None |
| PT O.M. Indonesia | PT O.M. Indonesia | Tin | Yes | INDONESIA | | Indonesia |
| PT Panca Mega Persada | PT Panca Mega Persada | Tin | Yes | INDONESIA | | |
| PT Prima Timah Utama | PT Prima Timah Utama | Tin | Yes | INDONESIA | | Indonesia |
| PT Refined Bangka Tin | PT Refined Bangka Tin | Tin | Yes | INDONESIA | | None |
| PT Sariwiguna Binasentosa | PT Sariwiguna Binasentosa | Tin | Yes | INDONESIA | | Indonesia |
| PT Stanindo Inti Perkasa | PT Stanindo Inti Perkasa | Tin | Yes | INDONESIA | | No |
| PT Sukses Inti Makmur | PT Sukses Inti Makmur | Tin | Yes | INDONESIA | | Indonesia |
| PT Sumber Jaya Indah | PT Sumber Jaya Indah | Tin | Yes | INDONESIA | | |
| PT Timah (Persero) Tbk Mentok | PT Timah (Persero) Tbk Mentok | Tin | Yes | INDONESIA | | Unknown |
| PT Tinindo Inter Nusa | PT Tinindo Inter Nusa | Tin | Yes | INDONESIA | | Indonesia |
| PT Tirus Putra Mandiri | PT Tirus Putra Mandiri | Tin | | INDONESIA | | Indonesia |
| PT Tommy Utama | PT Tommy Utama | Tin | Yes | INDONESIA | | |
| PT Wahana Perkit Jaya | PT Wahana Perkit Jaya | Tin | Yes | INDONESIA | | |
| PX Précinox S.A. | PX Précinox S.A. | Gold | Yes | SWITZERLAND | | Switzerland |
| QuantumClean | QuantumClean | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| Rand Refinery (Pty) Ltd. | Rand Refinery (Pty) Ltd. | Gold | Yes | SOUTH AFRICA | | |
| Remondis Argentia B.V. | Remondis Argentia B.V. | Gold | | NETHERLANDS | | Netherlands |
| Republic Metals Corporation | Republic Metals Corporation | Gold | Yes | UNITED STATES OF AMERICA | | |
| Resind Indústria e Comércio Ltda. | Resind Indústria e Comércio Ltda. | Tin | Yes | BRAZIL | | |
| Resind Indústria e Comércio Ltda. | Resind Indústria e Comércio Ltda. | Tantalum | Yes | BRAZIL | | |
| RFH Tantalum Smeltry Co., Ltd. | RFH Tantalum Smeltry Co., Ltd. | Tantalum | Yes | CHINA | | |
| Royal Canadian Mint | Royal Canadian Mint | Gold | Yes | CANADA | | Unknown |
| Rui Da Hung | Rui Da Hung | Tin | Yes | TAIWAN, PROVINCE OF CHINA | | |
| SAAMP | SAAMP | Gold | | FRANCE | | France |
| Sabin Metal Corp. | Sabin Metal Corp. | Gold | | UNITED STATES OF AMERICA | | |
| SAFINA A.S. | SAFINA A.S. | Gold | | CZECH REPUBLIC | | Czech Republic |
| Sai Refinery | Sai Refinery | Gold | | INDIA | | India |
| Samduck Precious Metals | Samduck Precious Metals | Gold | Yes | KOREA (REPUBLIC OF) | | |
| Samwon Metals Corp. | Samwon Metals Corp. | Gold | | KOREA (REPUBLIC OF) | | |
| SAXONIA Edelmetalle GmbH | SAXONIA Edelmetalle GmbH | Gold | Yes | GERMANY | | |
| Schone Edelmetaal B.V. | Schone Edelmetaal B.V. | Gold | Yes | NETHERLANDS | | |
| SEMPA Joyeria Plateria S.A. | SEMPA Joyeria Plateria S.A. | Gold | Yes | SPAIN | | Spain |

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|--|--|----------|--------------------|---------------------------|--|--|
| Shandong Tiancheng Biological Gold Industrial Co., Ltd. | Shandong Tiancheng Biological Gold Industrial Co., Ltd. | Gold | | CHINA | | |
| Sichuan Tianze Precious Metals Co., Ltd. | Sichuan Tianze Precious Metals Co., Ltd. | Gold | Yes | CHINA | | |
| Singway Technology Co., Ltd. | Singway Technology Co., Ltd. | Gold | Yes | TAIWAN, PROVINCE OF CHINA | | |
| So Accurate Group, Inc. | So Accurate Group, Inc. | Gold | | UNITED STATES OF AMERICA | | |
| SOE Shyolkovsky Factory of Secondary Precious Metals | SOE Shyolkovsky Factory of Secondary Precious Metals | Gold | Yes | RUSSIAN FEDERATION | | |
| Soft Metais Ltda. | Soft Metais Ltda. | Tin | Yes | BRAZIL | | Brazil |
| Solar Applied Materials Technology Corp. | Solar Applied Materials Technology Corp. | Gold | Yes | TAIWAN, PROVINCE OF CHINA | | |
| Solikamsk Metal Works | Solikamsk Magnesium Works OAO | Tantalum | Yes | RUSSIAN FEDERATION | | Russian Federation |
| South-East Nonferrous Metal Company Limited of Hengyang City | South-East Nonferrous Metal Company Limited of Hengyang City | Tungsten | Yes | CHINA | | |
| Sudan Gold Refinery ** | Sudan Gold Refinery | Gold | | SUDAN | | |
| T.C.A S.p.A | T.C.A S.p.A | Gold | Yes | ITALY | | |
| Taki Chemical Co., Ltd. | Taki Chemical Co., Ltd. | Tantalum | Yes | JAPAN | | |
| Tanaka Precious Metals | Tanaka Kikinzoku Kogyo K.K. | Gold | Yes | JAPAN | | Recycled |
| Tejing (Vietnam) Tungsten Co., Ltd. | Tejing (Vietnam) Tungsten Co., Ltd. | Tungsten | Yes | VIET NAM | | None |
| Telex Metals | Telex Metals | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| Thaisarco | Thaisarco | Tin | Yes | THAILAND | | Unknown |
| The Gejiu cloud new colored electrolytic | Gejiu Yunxin Nonferrous Electrolysis Co., Ltd. | Tin | | CHINA | | |
| The Great Wall Gold and Silver Refinery of China | Great Wall Precious Metals Co., Ltd. of CBPM | Gold | | CHINA | | |
| The Refinery of Shandong Gold Mining Co., Ltd. | The Refinery of Shandong Gold Mining Co., Ltd. | Gold | Yes | CHINA | | Yes |
| Toboca/ Paranapenema | Mineração Taboca S.A. | Tin | Yes | BRAZIL | | Unknown |
| Tokuriki Honten Co., Ltd. | Tokuriki Honten Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| TongLing Nonferrous Metals Group Holdings Co., Ltd. | Tongling Nonferrous Metals Group Co., Ltd. | Gold | | CHINA | | China |
| Tony Goetz NV ** | Tony Goetz NV | Gold | | BELGIUM | | |
| TOO Tau-Ken-Altyn | TOO Tau-Ken-Altyn | Gold | | KAZAKHSTAN | | Kazakhstan |
| Torecom | Torecom | Gold | Yes | KOREA (REPUBLIC OF) | | |
| Toyo Smelter & Refinery | Sumitomo Metal Mining Co., Ltd. | Gold | Yes | JAPAN | | Recycled |
| Tranzact, Inc. | Tranzact, Inc. | Tantalum | Yes | UNITED STATES OF AMERICA | | |
| Tuyen Quang Non-Ferrous Metals Joint Stock Company | Tuyen Quang Non-Ferrous Metals Joint Stock Company | Tin | | VIET NAM | | |
| Ulba Metallurgical Plant JSC | Ulba Metallurgical Plant JSC | Tantalum | Yes | KAZAKHSTAN | | |
| Umicore Brasil Ltda. | Umicore Brasil Ltda. | Gold | Yes | BRAZIL | | Peru |
| Umicore Precious Metals Thailand | Umicore Precious Metals Thailand | Gold | Yes | THAILAND | | No |
| Umicore S.A. Business Unit Precious Metals Refining | Umicore S.A. Business Unit Precious Metals Refining | Gold | Yes | BELGIUM | | Recycled |
| Unecha Refractory metals plant | Unecha Refractory metals plant | Tungsten | Yes | RUSSIAN FEDERATION | | |
| Unit Timah Kundur PT Tambang | PT Timah (Persero) Tbk Kundur | Tin | Yes | INDONESIA | | Indonesia |

| Smelter or Refiner (Reference List) | Smelter or Refiner (Name) | 3TG | Conflict Free * | Smelter Location | 3TG Country of Origin – DRC Region | 3TG Country of Origin – Other Than DRC Region |
|---|---|----------|-----------------|--------------------------|------------------------------------|---|
| United Precious Metal Refining, Inc. | United Precious Metal Refining, Inc. | Gold | Yes | UNITED STATES OF AMERICA | | |
| Universal Precious Metals Refining Zambia | Universal Precious Metals Refining Zambia | Gold | | ZAMBIA | Zambia | |
| Valcambi S.A. | Valcambi S.A. | Gold | Yes | SWITZERLAND | | |
| Vietnam Youngsun Tungsten Industry Co., Ltd. | Vietnam Youngsun Tungsten Industry Co., Ltd. | Tungsten | Yes | VIET NAM | | |
| VQB Mineral and Trading Group JSC | VQB Mineral and Trading Group JSC | Tin | Yes | VIET NAM | | |
| Western Australian Mint trading as The Perth Mint | Western Australian Mint trading as The Perth Mint | Gold | Yes | AUSTRALIA | | Australia |
| White Solder Metalurgica | White Solder Metalurgia e Mineração Ltda. | Tin | Yes | BRAZIL | | Unknown; Brazil |
| WIELAND Edelmetalle GmbH | WIELAND Edelmetalle GmbH | Gold | Yes | GERMANY | | |
| Wolfram Bergbau und Hütten AG | Wolfram Bergbau und Hütten AG | Tungsten | Yes | AUSTRIA | | Austria |
| Woltech Korea Co., Ltd. | Woltech Korea Co., Ltd. | Tungsten | Yes | KOREA, REPUBLIC OF | | |
| Xiamen Tungsten (H.C.) Co., Ltd. | Xiamen Tungsten (H.C.) Co., Ltd. | Tungsten | Yes | CHINA | | Russia, Canada |
| Xiamen Tungsten Co., Ltd. | Xiamen Tungsten Co., Ltd. | Tungsten | Yes | CHINA | | China; Russia |
| XiHai - Liuzhou China Tin Group Co Ltd | China Tin Group Co., Ltd. | Tin | Yes | CHINA | | Recycled |
| Xinfeng Huarui Tungsten & Molybdenum New Material Co., Ltd. | Xinfeng Huarui Tungsten & Molybdenum New Material Co., Ltd. | Tungsten | Yes | CHINA | | |
| Xinhai Rendian Shaoguan Tungsten Co., Ltd. | Xinhai Rendian Shaoguan Tungsten Co., Ltd. | Tungsten | Yes | CHINA | | China |
| XinXing HaoRong Electronic Material Co., Ltd. | XinXing HaoRong Electronic Material Co., Ltd. | Tantalum | Yes | CHINA | | |
| Xstrata | CCR Refinery - Glencore Canada Corporation | Gold | Yes | CANADA | | Canada |
| YAMAMOTO PRECIOUS METAL CO., LTD. | YAMAMOTO PRECIOUS METAL CO., LTD. | Gold | Yes | JAPAN | | |
| Yantai NUS Safina tech environmental Refinery Co. Ltd. | Guoda Safina High-Tech Environmental Refinery Co., Ltd. | Gold | | CHINA | | |
| Yichun Jin Yang Rare Metal Co., Ltd. | Yichun Jin Yang Rare Metal Co., Ltd. | Tantalum | Yes | CHINA | | |
| Yokohama Metal Co., Ltd. | Yokohama Metal Co., Ltd. | Gold | Yes | JAPAN | | |
| Yunnan Chengfeng Non-ferrous Metals Co., Ltd. | Yunnan Chengfeng Non-ferrous Metals Co., Ltd. | Tin | | CHINA | | China |
| Yunnan Copper Industry Co., Ltd. | Yunnan Copper Industry Co., Ltd. | Gold | | CHINA | | |
| Yuntinic Resources | Yunnan Tin Company Limited | Tin | Yes | CHINA | | China; Unknown |
| Zhangyuan Tungsten Co Ltd | Chongyi Zhangyuan Tungsten Co., Ltd. | Tungsten | Yes | CHINA | | China |
| Zhaojin Mining Industry Co., Ltd. | Shandong Zhaojin Gold & Silver Refinery Co., Ltd. | Gold | Yes | CHINA | | |
| Zhaoqing Duoluoshan Non-ferrous Metals Co.,Ltd | Duoluoshan | Tantalum | Yes | CHINA | | N/A |
| Zhongyuan Gold Smelter of Zhongjin Gold Corporation | Zhongyuan Gold Smelter of Zhongjin Gold Corporation | Gold | Yes | CHINA | | China |
| Zhuzhou Cemented Carbide Group Co., Ltd. | Zhuzhou Cemented Carbide Group Co., Ltd. | Tantalum | Yes | CHINA | | China |
| Zijin Mining Industry Corporation | Zijin Mining Group Co., Ltd. Gold Refinery | Gold | Yes | CHINA | | |

*** = SOR certified as conflict free by the Conflict Free Smelter Initiative or an equivalent independent third party certification program during reporting period 2016.**

**** = SOR identified as posing a high risk of sourcing from mines benefiting armed groups engaged in conflict in the DRC Region.**